



2874

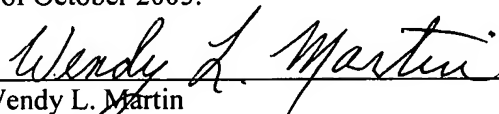
PATENT
Attorney Docket No. MIT-170
(058420/158924)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Watts, *et al.* CONFIRMATION NO.: 4624
SERIAL NO.: 10/533,370 GROUP NO.: 2874
FILING DATE: April 29, 2005 EXAMINER: Not yet assigned
TITLE: AN INTEGRATED OPTIC POLARIZATION CONVERTER BASED
ON STRUCTURAL CHIRALITY

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 6th day of October 2005.

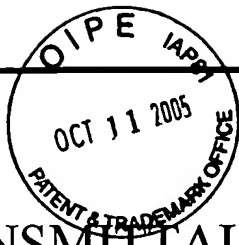

Wendy L. Martin

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Submitted herewith are:

1. Transmittal Form (1 page);
2. Supplemental Information Disclosure Statement (2 pages);
3. Form PTO-1449 (1 page);
4. Copies of cited references C3 – C10; and
5. Return receipt postcard.

**TRANSMITTAL
FORM**



Application Serial Number	10/533,370
Filing Date	April 29, 2005
First Named Inventor	Watts
Group Art Unit	2874
Examiner Name	Not yet assigned
Attorney Docket No.	MIT-170
Patent No.	Not applicable
Issue Date	Not applicable

ENCLOSURES (check all that apply)

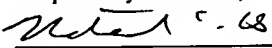
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____] <input type="checkbox"/> Petition for Extension of Time <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of cited references C3-C10 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application <input type="checkbox"/> Formal Drawing(s) <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> CD(s) for large table or computer program <input type="checkbox"/> Amendment After Allowance <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Brief (in triplicate) <input type="checkbox"/> Status Inquiry <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 <input type="checkbox"/> Additional Enclosure(s) (please identify below)
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CORRESPONDENCE ADDRESS

Direct all correspondence to:
 Patent Administrator
 Goodwin Procter LLP
 Exchange Place
 Boston, MA 02109
 Tel. No.: (617) 570-1000
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 Customer No. 051414

SIGNATURE BLOCK

Date: October 6, 2005
 Reg. No.: 44,382
 Tel. No.: (617) 570-1806
 Fax No.: (617) 523-1231

Respectfully submitted,

 Natasha C. Us
 Attorney for the Applicants
 Goodwin Procter LLP
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 Boston, MA 02109



PATENT
Attorney Docket No. MIT-170

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Watts, *et al.*
SERIAL NO.: 10/533,370 GROUP NO.: 2874
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ON STRUCTURAL CHIRALITY

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the cited references are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

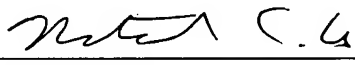
- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

Respectfully submitted,

Date: Oct. 6, 2005
Reg. No. 44,381

Tel. No.: (617) 570-1806
Fax No.: (617) 523-1231
VER 12/00



Natasha C. Us
Attorney for Applicant(s)
Goodwin Procter LLP
Exchange Place
Boston, Massachusetts 02109
Customer No. 051414



FORM PTO - 1449 SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT				ATTORNEY DOCKET NO.: MIT-170 APPLICANT(S): Watts, <i>et al.</i> SERIAL NO.: 10/533,370 FILING DATE: April 29, 2005 GROUP: Not yet assigned					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C3	Fimmwave by Photon Design., from website: http://www.photond.com/products/fimmwave/fimmwave1.htm , (September 8, 2005)							
	C4	Huang, et al., "Realization of a Compact and Single-Mode Optical Passive Polarization Converter," <i>IEEE Phototonics Technology Letters</i> , Vol 12, No. 3, pp. 317-319.							
	C5	Lui, et al., "Polarization Rotation in Semiconductor Bending Waveguides: a Coupled-Mode Theory Formulation," <i>Journal of Lightwave Technol.</i> , Vol 16, No. 5, pp 929-936, (May 1998)							
	C6	Mertens, et al., "New Highly Efficient Polarization Converters Based on Hybrid Supermodes," <i>Journal of Lightwave Technology</i> , Vol. 13, No. 10, pp. 2087-2092, (October 1995)							
	C7	Shani, et al., "Polarization rotation in asymmetric periodic loaded rib waveguides," <i>Appl. Phys. Lett.</i> , Vol. 59 (11), pp. 1278-1280 (September 1991).							
	C8	Snyder, et al., <i>Optical Waveguide Theory</i> , Chapman and Hall Ltd., New York, NY, (1983).							
	C9	Tzolov et al., "A Passive polarization converter free of longitudinally periodic structure," <i>Optics Communications</i> , Vol 127, pp 7-13 (June 1996).							
	C10	Watts, "Wavelength switching and routing through evanescently induced absorption," Master's thesis, Massachusetts Institute of Technology, (June 2001).							
EXAMINER					DATE CONSIDERED				